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PTO/SB/21 (12/97)

Approved for use through 9/30/2000. OMB 0651-0031  
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## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

|  |    |                        |                 |
|--|----|------------------------|-----------------|
|  |    | Application No.        | 09/540,613      |
|  |    | Filing Date            | March 31, 2000  |
|  |    | First Named Inventor   | Carl M. Ellison |
|  |    | Group Art Unit         | 2782            |
|  |    | Examiner Name          | Not Assigned    |
| Total Number of Pages in This Submission | 18 | Attorney Docket Number | 042390.P8628    |

### ENCLOSURES (check all that apply)

|  |   |  |  |
|--|---|--|--|
| <input checked="" type="checkbox"/> Fee Transmittal Form<br><br><input type="checkbox"/> Fee Attached<br><br><input type="checkbox"/> Amendment / Response<br><br><input checked="" type="checkbox"/> After Final<br><input checked="" type="checkbox"/> Affidavits/declaration(s)<br><br><input checked="" type="checkbox"/> Extension of Time Request<br><br><input type="checkbox"/> Express Abandonment Request<br><br><input type="checkbox"/> Information Disclosure Statement<br><br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><br><input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application<br><br><input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Assignment Papers (for an Application)<br><br><input type="checkbox"/> Drawing(s)<br><br><input type="checkbox"/> Licensing-related Papers<br><br><input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition<br><br><input type="checkbox"/> To Convert a Provisional Application<br><br><input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address<br><br><input type="checkbox"/> Terminal Disclaimer<br><br><input type="checkbox"/> Small Entity Statement<br><br><input type="checkbox"/> Request for Refund | <input type="checkbox"/> After Allowance Communication to Group<br><br><input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences<br><br><input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)<br><br><input type="checkbox"/> Proprietary Information<br><br><input type="checkbox"/> Status Letter<br><br><input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below): |  |
|  |   | Notice to File Missing Parts; Declaration and Power of Attorney for Patent Application   |  |
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### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

|                         |  |
|-------------------------|--|
| Firm or Individual name | Thinh V. Nguyen, Reg. No. 42,034<br><br>BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP |
| Signature               |  |
| Date                    | September 5, 2000  |

### CERTIFICATE OF MAILING/TRANSMISSION

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class mail with sufficient postage in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on:

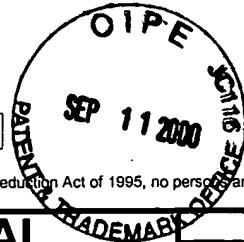
September 5, 2000

|                       |                   |
|-----------------------|-------------------|
| Typed or printed name | Pat Sullivan      |
| Signature             |                   |
| Date                  | September 5, 2000 |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Please type a plus sign (+) inside this box → +

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# FEE TRANSMITTAL for FY 2000

Patent fees are subject to annual revision.  
Small Entity payments must be supported by a small entity statement,  
otherwise large entity fees must be paid. See Forms PTO/SB/09-12.  
See 37 C.F.R. §§ 1.27 and 1.28.

**TOTAL AMOUNT OF PAYMENT**      **(\\$)**      **1,728.00**

## Complete if Known

|                      |                 |
|----------------------|-----------------|
| Application Number   | 09/540,613      |
| Filing Date          | March 31, 2000  |
| First Named Inventor | Carl M. Ellison |
| Examiner Name        | Not Assigned    |
| Group/Art Unit       | 2782            |
| Attorney Docket No.  | 042390.P8628    |

## METHOD OF PAYMENT (check one)

1.  The Commissioner is hereby authorized to charge indicated fees to:  
 The Commissioner is hereby authorized to credit any over payments to:

02-2666

Deposit Account Number  
Deposit Account Name

Blakely, Sokoloff, Taylor &amp; Zafman LLP

Charge Any Additional Fees Required Under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20.

2.  Payment Enclosed:

Check     Money Order     Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity      Small Entity

| Fee Code            | Fee (\$) | Fee Code     | Fee (\$) | Fee Description        | Fee Paid |
|---------------------|----------|--------------|----------|------------------------|----------|
| 101                 | 690      | 201          | 345      | Utility filing fee     | \$690.00 |
| 106                 | 310      | 206          | 155      | Design filing fee      |          |
| 107                 | 480      | 207          | 240      | Plant filing fee       |          |
| 108                 | 690      | 208          | 345      | Reissue filing fee     |          |
| 114                 | 150      | 214          | 75       | Provisional filing fee |          |
| <b>SUBTOTAL (1)</b> |          | <b>(\\$)</b> |          | <b>690.00</b>          |          |

### 2. EXTRA CLAIM FEES

| Total Claims       | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------|
| Independent Claims | 60 - 20 = 40 | X 18.00 =      | \$720.00 |
| Multiple Dependent | 4 - 3 = 1    | X 78.00 =      | \$78.00  |

\*\*or number previously paid, if greater. For Reissues, see below

Large Entity      Small Entity

| Fee Code            | Fee (\$) | Fee Code     | Fee (\$) | Fee Description   |
|---------------------|----------|--------------|----------|---|
| 103                 | 18       | 203          | 9        | Claims in excess of 20                                    |
| 102                 | 78       | 202          | 39       | Independent claims in excess of 3                         |
| 104                 | 260      | 204          | 130      | Multiple Dependent claim, if not paid                     |
| 109                 | 78       | 209          | 39       | **Reissue independent claims over original patent         |
| 110                 | 18       | 210          | 9        | **Reissue claims in excess of 20 and over original patent |
| <b>SUBTOTAL (2)</b> |          | <b>(\\$)</b> |          | <b>798.00</b>   |

## 3. ADDITIONAL FEE

### Large Entity      Small Entity

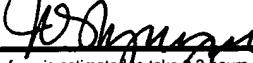
| Fee Code            | Fee (\$) | Fee Code | Fee (\$) | Fee Description  | Fee Paid |
|---------------------|----------|----------|----------|--|----------|
| 105                 | 130      | 205      | 65       | Surcharge - late filing fee or oath  | 130.00   |
| 127                 | 50       | 227      | 25       | Surcharge - late provisional filing fee or cover sheet.                    |          |
| 139                 | 130      | 139      | 130      | Non-English specification  |          |
| 147                 | 2,520    | 147      | 2,520    | For filing a request for reexamination                                     |          |
| 112                 | 920*     | 112      | 920*     | Requesting publication of SIR prior to Examiner action                     |          |
| 113                 | 1,840*   | 113      | 1,840*   | Requesting publication of SIR after Examiner action                        |          |
| 115                 | 110      | 215      | 55       | Extension for response within first month                                  | 110.00   |
| 116                 | 380      | 216      | 190      | Extension for response within second month                                 |          |
| 117                 | 870      | 217      | 435      | Extension for response within third month                                  |          |
| 118                 | 1,210    | 218      | 680      | Extension for response within fourth month                                 |          |
| 128                 | 1,850    | 228      | 925      | Extension for response within fifth month                                  |          |
| 119                 | 300      | 219      | 150      | Notice of Appeal   |          |
| 120                 | 300      | 220      | 150      | Filing a brief in support of an appeal                                     |          |
| 121                 | 260      | 221      | 130      | Request for oral hearing   |          |
| 138                 | 1,510    | 138      | 1510     | Petition to institute a public use proceeding                              |          |
| 140                 | 110      | 240      | 55       | Petition to revive - unavoidable   |          |
| 141                 | 1,210    | 241      | 605      | Petition to revive - unintentional   |          |
| 142                 | 1,210    | 242      | 605      | Utility issue fee (or reissue)   |          |
| 143                 | 430      | 243      | 215      | Design issue fee   |          |
| 144                 | 580      | 244      | 290      | Plant issue fee  |          |
| 122                 | 130      | 122      | 130      | Petitions to the Commissioner  |          |
| 123                 | 50       | 123      | 50       | Petitions related to provisional applications                              |          |
| 126                 | 240      | 126      | 240      | Submission of Information Disclosure Stmt                                  |          |
| 581                 | 40       | 581      | 40       | Recording each patent assignment per property (times number of properties) |          |
| 146                 | 790      | 246      | 395      | Filing a submission after final rejection (37 CFR 1.129(a))                |          |
| 149                 | 790      | 249      | 395      | For each additional invention to be examined (37 CFR 1.129(b))             |          |
| Other fee (specify) |          |          |          |  |          |
| Other fee (specify) |          |          |          |  |          |

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)**      **(\\$)**      **240.00**

## SUBMITTED BY

## Complete (if applicable)

|                       |   |             |                                    |
|-----------------------|---|-------------|------------------------------------|
| Typed or Printed Name | Thinh V. Nguyen   | Reg. Number | 42,034                             |
| Signature             |  | Date        | Deposit Account User ID<br>02-2666 |

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of:

CARL M. ELLISON, ET AL.

Application No.: 09/540,613

Filed: March 31, 2000

For: **MANAGING A SECURE ENVIRONMENT USING A CHIPSET IN ISOLATED EXECUTION MODE**

Assistant Commissioner for Patents

Attention: Box Missing Parts

Washington, D.C. 20231

**RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION**

Sir:

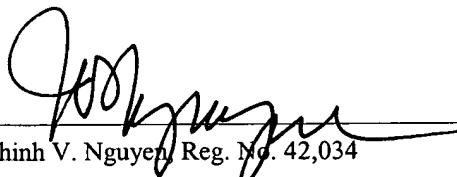
In response to the Notice to File Missing Parts of Application mailed June 5, 2000, please find enclosed:

- (1) a duly executed Declaration and Power of Attorney with respect to the above-referenced patent application;
- (2) a check in the amount of \$130.00 in payment of the surcharge of 37 CFR § 1.16(e);
- (3) a copy of the Notice to File Missing Parts of Application
- (4) a Petition for Extension of Time and check in the amount of \$110.00.

If any additional fee is required, please charge Deposit Account No. 02-2666. A duplication of the Fee Transmittal is enclosed for deposit account charging purposes.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

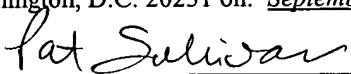


Thinh V. Nguyen, Reg. No. 42,034

Dated: September 5, 2000

12400 Wilshire Blvd., 7th Floor  
Los Angeles, California 90025  
Telephone: (714) 557-3800

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed to: Assistant Commissioner for Patents, Attention: Box Missing Parts, Washington, D.C. 20231 on: September 5, 2000.



Pat Sullivan

Pat Sullivan

09/05/00

Date

## FORMALITIES LETTER

OC00000005156708\*

UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark OfficeAddress: COMMISSIONER OF PATENT AND TRADEMARKS  
Washington, D.C. 20231

L1

EHT INTEL 42390

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 09/540,613         | 03/31/2000          | Carl M. Ellison       | 042390.P8628           |

Thinh V Nguyen  
Blakely Sokoloff Taylor & Zafman LLP  
12400 Wilshire Boulevard  
7th Floor  
Los Angeles, CA 90025

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JUN 07 2000

JUN 08 2000

STATUS DB-LA

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN  
LOS ANGELES

Date Mailed: 06/05/2000

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 690 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$798.
  - \$720 for 40 total claims over 20.
  - \$78 for 1 independent claims over 3 .
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 1618.**

*A copy of this notice MUST be returned with the reply.*

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JUN 08 2000

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JC

Customer Service Center

Initial Patent Examination Division (703) 308-1202

## PART 2 - COPY TO BE RETURNED WITH RESPONSE

09/13/2000 SDENBOB1 00000061 09540613

|           |        |    |
|-----------|--------|----|
| 01 FC:101 | 690.00 | OP |
| 02 FC:102 | 78.00  | OP |
| 03 FC:103 | 720.00 | OP |
| 04 FC:105 | 130.00 | OP |

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JUN 09 2000

BLAKELY SOKOLOFF TAYLOR & ZAFMAN LLP  
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